



4

COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR UTILITY PATENT APPLICATION

AS A BELOW-NAMED INVENTOR, I HEREBY DECLARE THAT:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if more than one name is listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: CD40 BINDING COMPOSITIONS AND METHOD OF USING SAME, the specification of which

(check one) ☐ is attached hereto  
☒ was filed on March 13, 1995

as application serial no. 08/404,832 and was amended on (if applicable).

I HAVE REVIEWED AND UNDERSTAND THE CONTENTS OF THE ABOVE-IDENTIFIED SPECIFICATION, INCLUDING THE CLAIMS, AS AMENDED BY ANY AMENDMENT REFERRED TO ABOVE.

I acknowledge and understand that I am an individual who has a duty to disclose information which is material to the patentability of the claims of this application in accordance with Title 37, Code of Federal Regulations, §§ 1.56(a) and (b) which state:

"(a) A patent by its very nature is affected with a public interest. The public interest is best served, and the most effective patent examination occurs when, at the time an application is being examined, the Office is aware of and evaluates the teachings of all information material to patentability. Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section. The duty to disclose information exists with respect to each pending claim until the claim is cancelled or withdrawn from consideration, or the application becomes abandoned. Information material to the patentability of a claim that is cancelled or withdrawn from consideration need not be submitted if the information is not material to the patentability of any claim remaining under consideration in the application. There is no duty to submit information which is not material to the patentability of any existing claim. The duty to disclose all information known to be material to patentability is deemed to be satisfied if all information known to be material to patentability of any claim issued in a patent was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b)-(d) and 1.98. However, no patent will be granted on an application in connection with which fraud on the Office was practiced or attempted or the duty of disclosure was violated through bad faith or

intentional misconduct. The Office encourages applicants to carefully examine:

(1) prior art cited in search reports of a foreign patent office in a counterpart application, and

(2) the closest information over which individuals associated with the filing or prosecution of a patent application believe any pending claim patentably defines, to make sure that any material information contained therein is disclosed to the Office.

(b) Under this section, information is material to patentability when it is not cumulative to information already of record or being made of record in the application, and

(1) It establishes, by itself or in combination with other information, a prima facie case of unpatentability of a claim; or

(2) It refutes, or is inconsistent with, a position the applicant takes in:

(i) Opposing an argument of unpatentability relied on by the Office, or

(ii) Asserting an argument of patentability.

A prima facie case of unpatentability is established when the information compels a conclusion that a claim is unpatentable under the preponderance of evidence, burden-of-proof standard, giving each term in the claim its broadest reasonable construction consistent with the specification, and before any consideration is given to evidence which may be submitted in an attempt to establish a contrary conclusion of patentability."

I do not know and do not believe this invention was ever known or used in the United States of America before my or our invention thereof, or patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to said application. This invention was not in public use or on sale in the United States of America more than one year prior to this application. This invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America on any application filed by me or my legal representatives or assigns more than twelve months prior to this application.

I hereby appoint the following attorneys and agents to prosecute that application and to transact all business in the Patent and Trademark Office connected therewith and to file, to prosecute and to transact all business in connection with all patent applications directed to the invention:

Reid G. Adler - Reg. No. 30,988  
David L. Bradfute - Reg. No. P-39,117  
Thomas E. Ciotti - Reg. No. 21,013  
Patricia M. Drost - Reg. No. 29,790  
Edward G. Durney - Reg. No. 37,611  
Tyler Dylan - Reg. No. 37,612  
Nancy Joyce Gracey - Reg. No. 28,216  
Gary A. Green - Reg. No. 38,474

Shmuel Livnat - Reg. No. 33,949  
Harry J. Macey - Reg. No. 32,818  
Gladys H. Monroy - Reg. No. 32,430  
Kate H. Murashige - Reg. No. 29,959  
Jackie N. Nakamura - Reg. No. 35,966  
Freddie K. Park - Reg. No. 35,636  
Robert A. Saltzberg - Reg. No. 36,910  
Paul F. Schenck - Reg. No. 27,253

Stuart P. Kaler - Reg. No. 32,913  
Paul C. Kimball - Reg. No. 34,641  
Antoinette F. Konski - Reg. No. 34,202  
Susan K. Lehnhardt - Reg. No. 33,943

James R. Shay - Reg. No. 32,062  
Debra A. Shetka - Reg. No. 33,309  
Cecily Anne Snyder - Reg. No. 37,448  
E. Thomas Wheelock - Reg. No. 28,825

Address all correspondence to: Antoinette F. Konski

MORRISON & FOERSTER  
755 Page Mill Road  
Palo Alto, CA 94304-1018

Address all telephone calls to: Antoinette F. Konski at 415-813-5600.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name Inventor: Vishva M. Dixit

Signature: Vishva Dixit

Date 5/11/95

Residence: Ann Arbor, Michigan MI

Citizenship: United States of America

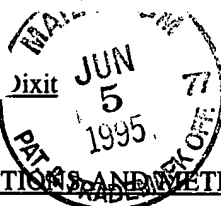
Post Office Address: 1300 Pepperpike, Ann Arbor, Michigan 48105

Applicant or Patentee: Vishva

Serial or Patent No.: 08/404,832

Filed or Issued: March 13, 1995

For: CD40 BINDING COMPOSITIONS AND METHODS OF USING SAME



Attorney

Docket No.: 203442102500

174

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL  
ENTITY STATUS 37 CFR 1.9(f) AND 1.27(c) - SMALL BUSINESS CONCERN**

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN: The Regents of the University of Michigan

ADDRESS OF CONCERN: 3003 S. State Street, Wolverine Tower, Room 2071, Ann Arbor, Michigan 48109-1280.

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled CD40 BINDING COMPOSITIONS AND METHODS OF USING SAME by inventor(s) Vishva M. Dixit.

described in

☐ the specification filed herewith with title as listed above.

☒ the application identified above.

☐ patent identified above.

If the rights held by the above identified business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate verified statements averring to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization having any rights in the invention listed below:

☐ no such person, concern, or organization exists.

☐ each such person, concern or organization is listed below.

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification or any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful